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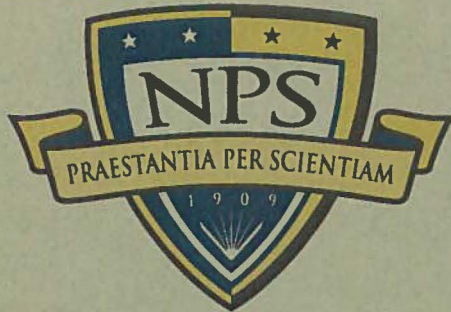
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ACQUISITION RESEARCH PROGRAM

2011 ANNUAL REPORT

1 January 2012

by

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Acquisition Chair

Disclaimer: The views represented in this report are those of the author and do not reflect the official policy position of the Navy, the Department of Defense, or the Federal Government.



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I. Overarching Philosophy of the Chair

The operating forces of the US military have a long history of looking to the past for lessons learned when developing strategies for the future. The challenge is to meld these lessons learned with evolving technology and world events to produce a coherent and executable framework for success for future military operations. In achieving this end-state, the process followed is important. The emerging strategy should be developed in a free and open forum that invites innovation and debate while maintaining intellectual rigor. An approach such as this also has application to the continually evolving business processes of the DoD. Specifically, the DoD acquisition system would benefit from an ongoing dialogue among practitioners, scholars and students of the process. The faculty of the Graduate School of Business and Public Policy (GSBPP) at the Naval Postgraduate School (NPS) and Virtual Research Consortium Partners are particularly well positioned to make a major contribution to such a dialogue. Additionally, graduate students enrolled in the diverse curricula offered across the campus stand to gain immensely from participation in these discussions via their MBA projects or theses.

A full spectrum of research is envisioned for the faculty and students of the GSBPP and collaborating partners—ranging from scholarly efforts published in relevant peer-reviewed journals to



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articles in acquisition-related periodicals and more application-oriented student projects. This range of research will contribute to the dialogue of the DoD acquisition community, be an important element in the continued accreditation of the GSBPP and ground the future DoD acquisition workforce in the issues of the day.



II. 2011 Overview

In 2011, the Acquisition Research Program (ARP) continued to thrive and is recognized by both government and industry as a valued research resource on acquisition-related issues, including scope and sphere of influence. While the data presented in Section IV (Metrics) gives specifics, the number of projects, products, collaboration opportunities and faculty participation have reached a steady state reflective of the ARP maturation. Program sponsorship increased with the addition of three new sponsors, the Department of Energy, Director, Acquisition Career Management, Assistant Secretary of the Navy for Research, Development & Acquisition and Program Executive Officer Tactical Aircraft. In addition, the Office of the Secretary of Defense (OSD) continued to build on the initial \$1 million pilot research project with the ARP. Initial researchers for this project included faculty members from the Naval Postgraduate School (NPS) and the University of Maryland (UMD). The sixth year of the OSD program was launched in the Spring with the release of a Broad Agency Announcement. Fifty-three proposals were received from across the country, and researchers from The University of North Carolina at Charlotte, NPS, the UK's University of Manchester, University of Maryland, Purdue University, Air Force Institute of Technology, Auburn University, Stevens Institute of Technology, The Center for Strategic and International Studies,



Carnegie Mellon University, and University of California-Irvine were selected for the 2011 \$2.5 million research program. The web-based *International Journal of Defense Acquisition Management* continued operation. Volumes 1, 2 and 3, containing the 2008-2010 papers selected, have been published and Volume 4 is underway with one paper published and others under review. The internal, formalized ARP NPS research proposal and solicitation process, established in 2006, stimulated twenty proposals and involved researchers from all four schools within the NPS.

The program continues to make a major contribution to maintaining the relevancy of faculty and instructional materials. Researcher opportunities provided by the Chair continue to offer the following benefits to researchers: (1) provision of funding, saving researchers "marketing" time; (2) ties with sponsor points of contact, thus assuring DoD-relevant research; (3) assistance with final formatting, editing and publishing, thereby relieving researchers from the "non-intellectual" aspects of their research. Each of these is a substantial benefit, but the growing connectivity between researchers and sponsors is paying large dividends to all concerned. New, relevant instructional materials emerge from completed research products; clearly, this has had a positive impact on the graduate student body. Sponsors receive help/insight with the business issues of the day. Faculty members



are "refreshed" in DoD-relevant subject matter, and graduate students are better prepared to enter the acquisition work force.

The highlight of the year was the 8th Annual Acquisition Research Symposium. Focused by the theme "Acquisition Research: Creating Synergy for Informed Change", 70 papers were presented during the two-day event to an audience of over 300 faculty, students, scholars, industry and DoD officials. The number of papers presented sustained the agenda growth of last year. It featured a fourth track on the first day of the event and each panel featured three research papers. The first day keynote plenary session featured The Honorable Jack Gansler, former Under Secretary of Defense (Acquisition, Technology & Logistics) (USD (AT&L)), Dr. Nancy Spruill, Director of OSD's office of Acquisition Resources and Assessment, and Mr. Pierre Chao, Managing Partner, Renaissance Strategic Advisors. This highly informative and energetic panel focused on the major acquisition issues of the day and characterized the changes needed for meeting 21st century security needs. They postulated that the DoD acquisition community must focus on shifting resources to achieve better buying power, recognizing the value of the acquisition workforce and the regeneration of skills and experience required therein, controlling cost growth and targeting affordability, achieving rapid response to urgent requirements through process changes, and maintaining technological superiority through a vigorous research program. Mr. Chao's remarks provided great



context to the discussion by observing that we may be operating in a new business paradigm characterized by a new "band" of defense spending which is declining as a percent of GDP, a "barbell-shaped" market that features irregular warfare at one end, traditional conflict at the other, and dual purpose forces that span the divide between them, an obsession with fixed price contracts the last era of which saw record low industry margins, a duality of simultaneous war time and peace time acquisition modes, and a defense industry that has become largely self financing and achieves growth through merger and acquisition activity. The ensuing discussion featured a dynamic interaction with the attendees that permeated the remainder of the symposium.

The second day keynote address was delivered by Lieutenant General William J. Phillips, USA, Military Deputy to the Assistant Secretary of the Army (Acquisition, Logistics & Technology). His remarks focused on: getting technologically superior capability into the hands of the warfighter more quickly through enhanced developmental planning; reducing integrated life cycle management time, cost and risk; and revitalizing the acquisition workforce. Both keynote speakers noted that we need to accomplish all these objectives in a climate of zero budget growth. Their timely and well received remarks set the stage for an extremely active dialogue among presenters and the audience for the entire conference. The 9th Annual Acquisition Symposium is scheduled for 16-17 May 2012 in Monterey.



III. Research Program Goals/Progress

Through the combined efforts of the NPS faculty, graduate students, Acquisition Chair, and collaborating research partners, the ARP is designed to achieve the goals noted below. 2011 contributions toward achieving each goal are noted below.

1. Position NPS as a recognized leader in defense acquisition research.

Since inception, the program's efforts have resulted in over 750 published works on a variety of important acquisition topics, including bid protests, management and oversight of services acquisition, performance-based logistics, contingency contracting, total ownership costs, contract close-out, strategic sourcing, competitive sourcing, system readiness management for Defense acquisition, maintaining competition in defense acquisition, characteristics of the 21st-century Defense industry, open architecture, spiral development / evolutionary acquisition, technology transition, impact of defense industry consolidations, globalization, transaction cost economics, shipbuilding cost analysis, the evolving private military sector, and many others as noted in Appendix A. On average 140 original research products are being added to the body of knowledge on DoD acquisition processes, policies and procedures annually.



A key feature of the program is the annual Acquisition Research Symposium, the first of which was held in May 2004. The symposium has profited greatly from an exceptional array of keynote speakers as follows:

- 2004—The Honorable Jacques Gansler, former USD (AT&L)
- 2005—The Honorable John J. Young, Jr., Assistant Secretary of the Navy, Research, Development & Acquisition.
- 2006—The Honorable Kenneth J. Krieg, Under Secretary of Defense (Acquisition, Technology & Logistics) (USD (AT&L)).
- 2007—Mr. Shay Assad, Director, Defense Procurement and Acquisition Policy.
- 2008—The Honorable Sue C. Payton, Assistant Secretary of the Air Force (Acquisition), and General Bruce Carlson, USAF, Commander Air Force Materiel Command.
- 2009—The Honorable Jacques Gansler, former USD (AT&L)
- 2010—The Honorable Robert O. Work, Under Secretary of the Navy and Lieutenant General Thomas J. Owen, USAF, Commander, Aeronautical Systems Center.
- 2011—The Honorable Jack Gansler, former USD (AT&L); Dr. Nancy Spruill, Director Acquisition Resources and Assessments, OSD; Dr. Pierre Chao, Principal, Renaissance Strategic Advisors; LTG William Phillips, USA, Military Deputy, Assistant Secretary of the Army (Acquisition, Logistics & Technology).



Participation by collaborating research partners expanded internationally in 2011, bringing the total to 69 in a Virtual Research Consortium. Partners now include universities and think tanks from Australia, China, Germany, Spain, Switzerland, and the United Kingdom. (See Appendix B.) This forum provides a unique opportunity for meaningful dialogue among senior DoD officials, acquisition scholars, practitioners and students on acquisition issues of the day. The focus of the conference is on the quality of research and participants, not quantity. This year's symposium once again featured an entire track devoted to the subject of open architecture and its implementation in DoD. This spotlighted the depth and quality of research being done and NPS' leadership role in an area vital not only to the architecture of combat systems of the future but to future reductions in total ownership costs for weapons systems. Sessions like this, with the continued and increased participation by the thought leaders of the DoD acquisition community and universities world-wide, strongly indicate that NPS is recognized as a leader in defense acquisition research.



2. Establish NPS acquisition research as an integral part of policy-making for Department of Defense officials.

The ARP appears to be reaching steady state in terms of products, collaboration, faculty/graduate student involvement and the breadth and depth of research. Accordingly, research products were produced and are available to inform a wide variety of policy areas that are currently under development. Of note, the entire ARP library of over 750 research products were available to the various task forces appointed by the USD (AT&L) in developing his September 14, 2010 directive implementing "Better Buying Power-Restoring Affordability and Productivity in Defense Spending." It is anticipated that many of the Better Buying Power initiatives will be the focus of researchers in the 2012 research program. In addition, since all work is presented at the annual Acquisition Research Symposium—which is attended by DoD, other government agency and industry officials—the opportunity exists for substantial dialogue, follow-up and collaboration. This has resulted in the engagement of faculty researchers with government/industry officials as new acquisition policy and processes are developed. Some examples include the following:

- The open architecture (OA) research being published continues to make a significant contribution to the evolving business practices which will implement OA, including the important topic of software reuse and associated repositories. Drs. Walter Scacchi and Thomas Alspaugh of UC Irvine continued their OA stream of research with a report that presents an approach for understanding and modeling software licenses, analyzing conflicts among groups of licenses in realistic system contexts and for guiding the acquisition, integration or development of systems with open source components in such an environment.
- The work of Drs. Aruna Apte, Uday Apte and Rene Rendon on services supply chain in the DoD takes what we believe is the first comparative look across the services at how services contracting is done. It finds that: most services contracts are competitively bid, fixed price awards with minimal use of contract incentives; that one service uses a regional approach while the others use an installation level approach and that in turn directly influences the kind of program and contract oversight provided; that there are inadequate positions for services acquisition and existing billets were inadequately filled. These data points should serve as an excellent point of departure as DoD works to implement recent legislation and achieve results in its cost reduction initiatives.
- The collaborative work of NPS Senior Lecturer John Dillard and Dr. David Ford of Texas A&M on the use of integrated systems dynamic and knowledge value added models in the analysis of alternatives (AoA) for MDAPs can have important implications for acquisition practice. The result may be AoA decisions that are stronger, more robust, consistent



and include a larger number of alternatives which will allow better program management selectivity.

- A study by Dr. Jacques Gansler, William Lucyshyn and Michael Arendt of the University of Maryland suggests that the desired state of the acquisition workforce for the 21st century centers on the concept of the “smart buyer”—one who is value focused with the requisite technical skills and experience—and fostered by: increased stability of senior leadership, development of the required human capital, improving workforce agility, and adapting a blended workforce and partnering environment. Their suggestions would appear to be particularly timely as DoD takes significant steps to rebuild its acquisition workforce.
- Research by Drs. Steven M. Maser and G. Frederick Thompson of Willamette University which views the DoD’s source selection/bid protest process through the dual lenses of transaction-resource economics and economic theories of organizations and dispute system designs. From this unique perspective, they identify actionable findings and recommendations that are particularly timely as DoD, Congress and the GAO seek to find ways to assure a transparent source selection process while at the same time eliminating frivolous and costly bid protests.

With examples such as these, the ARP is well positioned to continue producing relevant input on the “front line” of emerging acquisition policy and strategy. All research accomplished is published in full text on the ARP website, www.acquisitionresearch.org, allowing ready access by any and all parties interested in the DoD acquisition process.



3. Create a stream of relevant information concerning the performance of DoD Acquisition policies with viable recommendations for continuous process improvement.

The annual stream of research products from the ARP has reached sizeable proportions. With over 750 publications and papers published since inception, a significant contribution has been made to the body of literature on the DoD acquisition process. Notably, completed research is now routinely cited in new work—which indicates that research products are being read and discussed and are adding new thought to the acquisition domain. Previous work done in the ARP by NPS Senior Lecturer John Dillard on centralization vs. decentralization in the defense acquisition process no doubt influenced the recent USD (AT&L) directive to review the list of current OSD program reviews, acquisition documents and internally-generated reporting requirements with a goal of substantial reduction. Researchers at the University of Maryland have analyzed the implementation of the Nunn-McCurdy Act in DoD and have made numerous suggestions for improving its effectiveness, which include embracing and implementing the Weapons Systems Acquisition and Reform Act of 2009, developing leading indicators of unit cost growth difficulties, identifying cost as a key performance parameter and



considering life-cycle cost when making acquisition decisions.

Faculty researchers routinely give multiple presentations, in both national and international fora, featuring their research work—thereby increasing exposure to a broader audience. Typical audiences include the International Symposium of the International Council on Systems Engineering, the National Defense Industry Association Systems Engineering Conference, the Western Economics Association International Conference, the National Contract Management Association World Congress, the Balkan countries Ministries of Defense, the Homeland Defense and Security Education Summit, and the International Public Procurement Conference. The majority of research work spotlights particular DoD acquisition processes, procedures or emerging initiatives, analyzes current status, and provides recommendations or alternatives for consideration. The success of faculty in having numerous acquisition-research-based articles selected for publication in peer-reviewed or practitioner journals is a strong indicator that program products are indeed relevant and critical for faculty promotion opportunities. Requests for copies of published manuscripts, particularly from DoD officials, continue to increase. The stream of articles based on research accomplished in 2011 is expected to continue.



4. Prepare the DoD workforce to participate in the continued evolution of the defense acquisition process.

This is perhaps the most important goal of the ARP. It is directly related to NPS' overarching goal of providing a DoD-focused graduate education program to future DoD and government officials. The synergy between research and course content is impressive. Case studies and reports that are products of the research program are being utilized in numerous NPS courses, thus assuring that course materials and faculty are refreshed and relevant to current practice. The number of students engaged in focused acquisition research for their MBA projects or theses remains steady with 70-100 students participating annually. These students have the benefit of being able to apply their newly acquired acquisition skills to real-world issues. They not only receive visibility in the DoD acquisition community, but their products are often of great use to the sponsor in developing acquisition policy and processes. A developing trend is for students to become involved with MBA projects that focus on the challenges facing the command to which they will report upon leaving NPS. The students represent all branches of the Armed Services, and the breadth of their research is characterized by a sampling of titles:



- *Leveraging Collaborative Software Tools to Improve the Ship Acquisition Process*
- *An Analysis of Rapid Technology Transfer Solutions and Best Practices for Use by the Department of Defense*
- *The Art of the Deal: How Can the Air Force Successfully Execute Renewable Energy Transactions*
- *Analysis of Contract Management Processes at the Naval Sea Systems Command*
- *Mission and Installation Contracting Command Services Acquisition: An Empirical Analysis*
- *Foreign Military Sales: A Financial Analysis and Assessment of the Administrative Surcharge Rate*
- *An Analysis of US Navy Humanitarian Assistance & Disaster Relief Operations*
- *Paying for Military Support in Humanitarian Assistance & Disaster Response: A Cost Analysis and Planning Model*
- *An Analysis of the Return on Investment of Navy Enterprise Resources Planning from FY04 to FY15*

The breadth of research topics mentioned above is not only a measure of how the ARP is enhancing the development of the future acquisition work force, but is a clear indication of the original thought and value graduate students can bring to current acquisition issues.



5. Collaborate with other universities, think tanks, industry and government in acquisition research.

In 2011, contact and collaboration with other universities and think tanks in acquisition research continued to grow. Over forty universities/think tanks participated in the 8th Annual Acquisition Research Symposium as a result of a focused effort to create a Virtual Research Consortium. The resulting dialogue and emerging collaborative research efforts continue to bring new scholar and practitioner thought to the business issues facing the DoD. This was amply demonstrated by the large response to our fifth Broad Agency Announcement in support of the OSD-sponsored acquisition research program. With increased funding from OSD, we were able to add two new university research partners—thus significantly enhancing our efforts to involve scholars nationwide in bringing new thought to acquisition issues and challenges. For the 9th annual symposium, we received a large volume of proposals from many practitioners and scholars new to our program—including international representation.

Our 2011 research program was significantly enhanced by increased participation by think tanks such as The RAND Corporation and the Center for Strategic and International Studies (CSIS). These two entities combined to conduct a

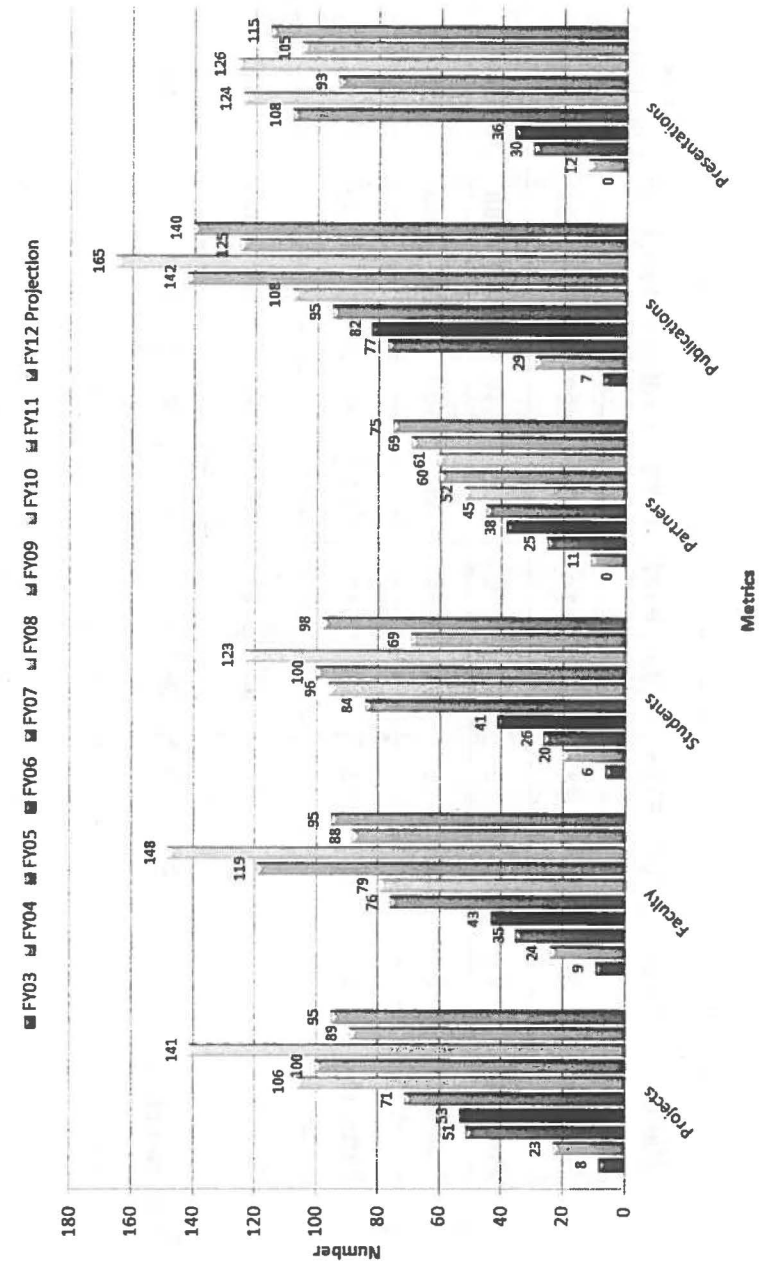


panel on: *Global Influences and the Defense industrial Base*. In particular, the panel addressed the US and UK shipbuilding industrial base with a detailed analysis of the health of each and issues to be considered for the future. The presentations generated vigorous discussion and follow-on presentations to senior Navy leadership.

Finally, our *International Journal of Defense Acquisition* continues to attract scholars from around the globe. These are just some examples of ways we are stimulating a broader dialogue on and engagement with defense acquisition policies and processes. A complete list of research partners/collaborators can be found at Appendix B.

IV. Metrics

Acquisition Research Program Metrics 2003 - 2012



Metric	FY03	FY04	FY05	FY06	FY07	FY08	FY09	FY10	FY11	FY12 Projected
Projects	8	23	51	53	71	106	100	141	89	95
Faculty	9	24	35	43	76	79	119	148	88	95
Students	6	20	26	41	84	96	100	123	69	98
Partners	0	11	25	38	45	52	60	61	69	75
Publications	7	29	77	82	95	108	142	165	125	140
Presentations	0	12	30	36	108	124	93	126	105	115

V. The Year Ahead

In 2011, the Acquisition Research Program will continue to focus on attaining the five goals initially set for the program. They remain as valid today as they did at program inception. We expect to see improvement in all matrix categories used to track progress, but growth may not be as dramatic as in past years simply due to the existing scope and reach of ongoing work. Our 9th Annual Acquisition Symposium will be held once again in Monterey on 16-17 May 2012. The proceedings of the symposium will be significantly enhanced by the presence of a number of scholars new to the Acquisition Research Program and representing universities new to our Virtual Research Consortium. Additionally, we expect our web-based *International Journal of Defense Acquisition Management* to build a strong knowledge base of internationally focused research. Finally, we anticipate a spring release of the next Broad Agency Announcement to continue to attract scholars nationwide to bring their intellectual skills to bear on areas of interest to DoD acquisition processes and policies. We thank our sponsors for their continued support and, as always, solicit their input for future research efforts. With their help, our researchers, both faculty and graduate student, will remain focused on timely and relevant subject matter that can provide the intellectual underpinning for informed decisions as the DoD acquisition process continues to evolve.



Appendix A. Recent Sponsored Acquisition Research

Acquisition Management

- A System Approach to Expanding the Technology Readiness Level within Defense Acquisition
- The Role of Lead System Integrator
- Research on Defense Acquisition Management for System-of-Systems
- The Economic Evaluation of Alternatives (EEoA): Rethinking the Application of Cost-effectiveness Analysis, Multi-criteria Decision-making (MCDM) and the Analysis of Alternatives (AoA) in Defense Procurement
- The Stryker Mobile Gun System: A Case Study on Managing Complexity
- Modeling Open Architecture and Evolutionary Acquisition: Implementation Lessons from the ARCI Program for the Rapid Capability Insertion Process
- Reducing the Cost of Risk-based Testing: Management of Testing Options to Manage Risk in Test and Evaluation

Contract Management

- The Evolving Private Military Sector: Toward a Framework for Effective DoD Contracting
- Analysis of Contract Management Processes at Fleet & Industrial Supply Centers (FISC) Worldwide



- Army Contracting Command Demographics
- Contract Management Process Maturity: Analysis of Recent Organizational Assessments
- Market Niches in the Private Military Sector: An Initial Look

Financial Management

- Acquisitions via leasing: MPS case
- Density as a Cost-driver in Naval Submarine Design and Procurement
- An Analysis of Army Dependence on Supplemental Appropriations
- Dynamic Cost Risk Assessment for Controlling the Cost of Naval Vessels

Logistics Management

- The Logistics Support Resource Strategy Map: A Design and Assessment Tool
- Development of an Item Unique Identification Strategy for the Legacy Components of the US Marine Corps M1A1 Abrams Tank
- RFID/RTLS Application to Remanufacturing Operations in the US Department of Defense
- Feasibility of Radio Frequency Identification (RFID) and Item Unique Identification (IUID) in the Marine Corps Small Arms Weapons Tracking System



- Reverse Logistics at the Commander, Naval Surface Forces Real-time & Reutilization Asset Management (R-RAM) San Diego Warehouse

Program Management

- Building Collaborative Capacity
- Facilitating Decision Making, Re-use and Collaboration: A Knowledge Management Approach to Acquisition Program Self-awareness
- Managing the Services Supply Chain in the Department of Defense: An Empirical Study of Current Management Practices
- The Army Seeks a World Class Logistics Modernization Program
- Public-Private Partnership Improves Aircraft Readiness

A complete list of the ARP published research as well as electronic copies of that research are available at our website: www.acquisitionresearch.org



Appendix B. Virtual Research Consortium Partners

• Air Force Institute of Technology	• Analytic Services Inc
• Arizona State University	• Auburn University
• California Polytechnic State University	• California State University, Monterey Bay
• Carnegie Mellon University, Software Engineering Institute	• Center for Strategic and International Studies
• Central University of Finance and Economics, Beijing	• Cranfield University, Defence Academy of the United Kingdom
• Clemson University	• Defense Acquisition University
• European University Institute	• Florida Atlantic University
• George Mason University	• Georgetown University
• Georgia Institute of Technology, Tennenbaum Institute	• Harvard University, Kennedy School of Government
• Honolulu Community College	• Indiana University
• Institute for Defense Analyses	• Iowa State University
• Manchester Business School	• Mid Sweden University
• Massachusetts Institute of Technology	• Monterey Institute of International Studies
• National Defense University	• Naval Postgraduate School
• Naval War College	• North Central University
• New York University, Stern School of Business	• Professional Services Council
• Purdue University	• RAND Corporation
• School of International Graduate Studies	• Stevens Institute of Technology
• Syracuse University	• Texas A&M University
• Texas A&M International University	• Texas A&M University, Commerce
• The George Washington University	• The MITRE Corporation



• The Ohio State University	• United States Air Force Academy
• United States Military Academy	• United States Naval Academy
• University of New South Wales, Australian Defense Force Academy	• University of Texas, Senior Service College Fellowship Program (SSCFP)
• University of Alabama, Huntsville	• University of Bundeswehr, Munich
• University of California, Berkley	• University of California, Irvine
• University of California, Riverside	• University of Colorado, Boulder
• University of Georgia	• University of Hawaii
• University of Maryland	• University of North Florida
• University of North Carolina, Charlotte	• University of St. Gallen, Switzerland
• University of Navarra, IESE Business School, Barcelona	• Virginia Polytechnic Institute and State University
• University of Phoenix	• University of Rhode Island
• University of San Diego	• University of Texas at Austin
• University of Tennessee, Knoxville	• West Virginia University
• Willamette University	

Notes



Notes





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